

TEXAS COMPTROLLER OF PUBLIC ACCOUNTS

POST-PAYMENT & PROCUREMENT REVIEW

AGENCY DOCUMENT CHECKLIST

PLEASE NOTE:

- Supporting documentation must be provided for each PCC code, included the blank PCC used for exempt purchases.
- All purchases exceeding \$25,000 must be posted on the Electronic State Business Daily (ESBD) for the required minimum time period. Failure to post for the required time will void the contract. Verification of the posting is required in the purchase package.

<p>PCC A</p> <p>TERM CONTRACT PURCHASE</p>	<p>_____ Automated Term Contract PO with authorized signature</p> <p>_____ Invoice must match PO</p> <p>_____ Check freight charges stated on PO</p> <p>_____ Purchase Order Change Notice (POCN) for extending/renewing a contract (created prior to the expiration of contract) (if applicable)</p>
<p>PCC B</p> <p>SCHEDULE PURCHASE</p>	<p>_____ Scheduled PO issued by CPA</p> <p>_____ Invoice must match PO</p> <p>_____ Check freight charges stated on PO</p>
<p>PCC C</p> <p>NON- AUTOMATED TERM CONTRACT PURCHASE</p>	<p>_____ Non-automated Term Contract PO</p> <ul style="list-style-type: none"> • Delivery terms and/or contract term defined • NIGP Class-Item Codes listed <p>_____ Invoice must match PO</p> <p>_____ Copy of the PO that was forwarded to CPA</p> <p>_____ Purchase Order Change Notice (POCN) for extending/renewing a contract (created prior to the expiration of contract) (if applicable)</p>

<p>PCC D</p> <p>PURCHASES OF INFORMATION TECHNOLOGY COMMODITIES OR SERVICES NOT AVAILABLE THROUGH DIR CONTRACTS</p>	<p><i>If using the new 34 Texas Administrative Code § 20.391 Rule for Request for Proposals procedures:</i></p> <p>_____ PO with authorized signature</p> <ul style="list-style-type: none"> • Delivery terms and/or contract term defined • NIGP Class-Item Codes listed <p>_____ Invoice must match PO</p> <p>_____ All affirmations and applicable clauses included</p> <p>_____ Agencies required to determine whether the IT commodity or service is available from Department of Information Resources contract(s); if not, a DIR exemption must be included in the documentation indicating that the product or service may be otherwise procured; an exemption provided by the department of the Legislative Budget Board; or other exemption such as an express statutory exemption may be accepted.</p> <p>_____ If the purchase does not exceeds the \$5,000 spot purchase limit, informal bidding requirements must be indicated in the documentation</p> <p>_____ If greater than \$5,000, but less than ceiling for commodity/service, Bid Tabulation is required</p> <ul style="list-style-type: none"> • CMBL printout verifying at least three (3) vendors were solicited, two (2) of which must be certified HUBs • CMBL printout must reflect date solicited <p>_____ At the time of award, file documentation must contain:</p> <ul style="list-style-type: none"> • Excluded Parties List System (EPLS) printout date prior to contract award • Awarded vendor's CMBL profile • Awarded vendor's product/service information pertaining to the award
<p>PCC D</p> <p>(continued)</p>	<p>_____ Electronic State Business Daily (ESBD) posting printout if purchase is \$25,000</p> <p>_____ Emergency justification letter with authorized signature (if applicable)</p> <p>_____ Proprietary letter with authorized signature (if applicable)</p> <p>_____ For purchases over \$100,000, Historically Underutilized Business Subcontracting Plan must be documented</p> <p><i>If using an approved alternate method of procurement per 34 Texas Administrative Code §20.391, code as PCC D, but follow relevant procurement procedures; e.g., the IFB procedure for IT commodities between \$5,000 and \$25,000 would be coded PCC D, but following the PCC F pattern.</i></p>

<p>PCC E</p> <p>PURCHASES LESS THAN \$5,000.01</p>	<p>_____ PO with authorized signature</p> <ul style="list-style-type: none"> • Delivery terms and/or contract term defined • NIGP Class-Item Codes listed <p>_____ Invoice must match PO</p> <p>_____ Waiver form from TCI if purchased from another source</p> <p>_____ If the item is on term contract, verify the amount is within the minimum purchase amount designated or within the spot purchase limit per the contract</p> <p>_____ All affirmations and applicable clauses included</p> <p>_____ Letter of Justification for purchases of non-recycled commodities/services over \$150 (if applicable)</p> <p>_____ EPLS printout, prior to contract award</p>
<p>PCC F</p> <p>COMMODITY PURCHASE FROM \$5,000.01 to \$25,000</p>	<p>_____ PO with authorized signature</p> <ul style="list-style-type: none"> • Delivery terms and/or contract term defined • NIGP Class-Item Codes listed <p>_____ Invoice must match PO</p> <p>_____ All affirmations and applicable clauses included</p> <p>_____ Bid Tabulation</p> <ul style="list-style-type: none"> • CMBL printout verifying at least three (3) vendors were solicited, two (2) of which must be certified HUB vendors • CMBL printout must reflect the date solicited • Bid tabulation must list all vendors solicited • Written approval from agency head or designee authorizing supplementation with non-CMBL vendors <p>_____ Purchase Order Change Notice (POCN) for extending/renewing a contract (created prior to the expiration of contract) (if applicable)</p> <p>_____ Emergency justification letter with authorized signature (if applicable)</p> <p>_____ Proprietary letter with authorized signature (if applicable)</p> <p>_____ Letter of Justification for purchases of non-recycled commodities/services over \$150 (if applicable)</p> <p>_____ EPLS printout, prior to contract award</p>
<p>PCC G</p> <p>OPEN MARKET PURCHASE (solicited by CPA)</p>	<p>_____ Open Market PO for commodities exceeding \$25,000 and services exceeding \$100,000</p> <ul style="list-style-type: none"> • Delivery terms and/or contract term defined <p>_____ Invoice must match CPA PO</p> <p>_____ Check freight charge on PO (if applicable)</p>

<p>PCC H</p> <p>CREDIT CARD PURCHASE</p>	<p>_____ PO with authorized signature and/or Internal Log</p> <ul style="list-style-type: none"> • NIGP Class-Item Codes listed <p>_____ List on the PO the item purchased</p> <p>_____ All affirmations and applicable clauses included</p> <p>_____ All sales receipts or invoices must be included and signed by authorized user</p> <p>_____ EPLS printout, prior to contract award</p> <p><i>Note:</i> Procurement card cannot be used for automated nor non-automated contracts.</p>
<p>PCC I</p> <p>PURCHASES FROM DIR CONTRACT FOR AGENCIES</p>	<p><i>As of 9-1-2007 this Purchase Category Code includes TXMAS Schedule 70 contracts</i></p> <p>_____ PO with authorized signature</p> <ul style="list-style-type: none"> • Delivery terms and/or contract term defined • NIGP Class-Item Codes listed <p>_____ State DIR contract number on PO</p> <p>_____ Invoice must match PO</p>
<p>PCC K</p> <p>DIRECT PUBLICATION PURCHASE</p>	<p>_____ PO with authorized signature</p> <ul style="list-style-type: none"> • Delivery terms and/or contract term defined • NIGP Class-Item Codes listed <p>_____ Invoice must match PO</p> <p>_____ All affirmations and applicable clauses included</p> <p>_____ Electronic State Business Daily (ESBD) posting printout if purchase is over \$25,000</p> <p>_____ Signed declaration statement, “Not available from any other source” must be documented on all direct publication orders</p> <p>_____ EPLS printout, prior to contract award</p>

PCC L PERISHABLE PURCHASE	<p>_____ PO with authorized signature</p> <ul style="list-style-type: none"> • Delivery terms and/or contract term defined • NIGP Class-Item Codes listed <p>_____ Invoice must match PO</p> <p>_____ All affirmations and applicable clauses included</p> <p>_____ Bid Tabulation (\$5,000.01 and greater)</p> <ul style="list-style-type: none"> • CMBL printout verifying at least three (3) vendors were solicited, two (2) of which must be certified HUB vendors • CMBL printout must reflect the date solicited • Bid tabulation must list all vendors solicited • Written approval from agency head or designee authorizing supplementation with non-CMBL vendors <p>_____ Purchase Order Change Notice (POCN) for extending/renewing a contract (created prior to the expiration of contract) (if applicable)</p> <p>_____ Emergency justification letter with authorized signature (if applicable)</p> <p>_____ Proprietary justification letter with authorized signature (if applicable)</p> <p>_____ Electronic State Business Daily (ESBD) posting printout if purchase is over \$25,000</p> <p>_____ EPLS printout, prior to contract award</p>
PCC M DISTRIBUTOR PURCHASE	<p>_____ PO with authorized signature</p> <ul style="list-style-type: none"> • Delivery terms and/or contract term defined • NIGP Class-Item Codes listed <p>_____ Invoice must match PO</p> <p>_____ Bid Tabulation (\$5,000.01 and greater)</p> <ul style="list-style-type: none"> • CMBL printout verifying at least three (3) vendors were solicited, two (2) of which must be certified HUB vendors • CMBL printout must reflect the date solicited • Bid tabulation must list all vendors solicited • Written approval from agency head or designee authorizing supplementation with non-CMBL vendors <p>_____ All affirmations and applicable clauses included</p> <p>_____ Purchase Order Change Notice (POCN) for extending/renewing a contract (created prior to the expiration of contract) (if applicable)</p> <p>_____ Emergency justification letter with authorized signature (if applicable)</p> <p>_____ Proprietary justification letter with authorized signature (if applicable)</p> <p>_____ Electronic State Business Daily (ESBD) posting printout if purchase is over \$25,000</p> <p>_____ EPLS printout, prior to contract award</p>

<p>PCC P</p> <p>BULK FUEL PURCHASE</p>	<p>_____ PO with authorized signature</p> <ul style="list-style-type: none"> • Delivery terms and/or contract term defined • NIGP Class-Item Codes listed <p>_____ Invoice must match PO</p> <p>_____ All affirmations and applicable clauses included</p> <p>_____ Bid Tabulation (\$5,000.01 and greater)</p> <ul style="list-style-type: none"> • CMBL printout verifying at least three (3) vendors were solicited, two (2) of which must be certified HUB vendors • CMBL printout must reflect the date solicited • Bid tabulation must list all vendors solicited • Written approval from agency head or designee authorizing supplementation with non-CMBL vendors <p>_____ All sales receipts or invoices must be included and signed by authorized user</p> <p>_____ Emergency justification letter with authorized signature (if applicable)</p> <p>_____ Proprietary justification letter with authorized signature (if applicable)</p> <p>_____ Electronic State Business Daily (ESBD) posting printout if purchase is over \$25,000</p> <p>_____ EPLS printout, prior to contract award</p> <p>(<i>Note:</i> Purchases made from a CCG Contract should be coded as a Document Type 9 and reference legal cite Texas Government Code § 2162.105.)</p>
<p>PCC Q</p> <p>SERVICE PURCHASE FROM \$5,000.01 TO \$25,000</p>	<p>_____ PO with authorized signature</p> <ul style="list-style-type: none"> • Delivery terms and/or contract term defined • NIGP Class-Item Codes listed <p>_____ Invoice must match PO</p> <p>_____ Bid Tabulation</p> <ul style="list-style-type: none"> • CMBL printout verifying at least three (3) vendors were solicited, two (2) of which must be certified HUB vendors • CMBL printout must reflect the date solicited • Bid tabulation must list all vendors solicited • Written approval from agency head or designee authorizing supplementation with non-CMBL vendors <p>_____ All affirmations and applicable clauses included</p> <p>_____ Internal repair statement must be documented on PO (labor charges and parts must be included)</p> <p>_____ CPA Approval letter to utilize RFP procurement method</p> <p>_____ Emergency justification letter with authorized signature (if applicable)</p> <p>_____ Proprietary justification letter with authorized signature (if applicable)</p> <p>_____ Purchase Order Change Notice (POCN) for extending/renewing a contract (created prior to the expiration of contract) (if applicable)</p> <p>_____ EPLS printout, prior to contract award</p>

<p>PCC S</p> <p>SERVICE PURCHASE TO EXCEED \$25,000.01</p> <p>(Total Value of Initial Contract Term)</p>	<p>_____ PO with authorized signature</p> <ul style="list-style-type: none"> • Delivery terms and/or contract term defined • NIGP Class-Item Codes listed <p>_____ Invoice must match PO</p> <p>_____ All affirmations and applicable clauses included</p> <p>_____ Signed bid from awarded vendor</p> <p>_____ Bid Tabulation</p> <ul style="list-style-type: none"> • CMBL printout of all eligible vendors solicited, two (2) of which must be certified HUB vendors • CMBL printout must reflect the date solicited • Bid tabulation must list all vendors solicited • Written approval from agency head or designee authorizing supplementation with non-CMBL vendors <p>_____ Purchases over \$100,000</p> <ul style="list-style-type: none"> ▪ CPA's Delegation of Purchase letter (required) ▪ Written statement addressing rationale for not incorporating CATRAD's mandatory and/or recommended revisions to the formal solicitation ▪ HUB Subcontracting Plan (HSP) <p>_____ Purchase Order Change Notice (POCN) for extending/renewing a contract (created prior to the expiration of contract) (if applicable)</p> <p>_____ Emergency justification letter with authorized signature (if applicable)</p> <p>_____ Proprietary justification letter with authorized signature (if applicable)</p> <p>_____ Internal repair statement must be documented on PO (labor charges and parts must be included)</p> <p>_____ Electronic State Business Daily (ESBD) posting printout if purchase is over \$25,000</p> <p>_____ EPLS printout, prior to contract award</p>
<p>PCC T</p> <p>EMERGENCY PURCHASES OF GOODS AND SERVICES EXCEEDING \$25,000 (continued)</p>	<p>_____ PO with authorized signature</p> <ul style="list-style-type: none"> • Projected beginning and end date of contract • NIGP Class-Item Codes listed <p>_____ Invoice must match PO</p> <p>_____ All affirmations and applicable clauses included</p> <p>_____ Signed bid from awarded vendor</p> <p>_____ Emergency justification letter with authorized signature</p> <p>_____ Electronic State Business Daily (ESBD) posting printout if purchase is over \$25,000</p> <p>_____ Required statements for an emergency purchase</p> <ul style="list-style-type: none"> • Nature of emergency and cause • Estimated impact or damage either financial or otherwise that will occur by following normal procurement practices (general statements of loss or normal damage are not acceptable) <p>_____ EPLS printout, prior to contract award</p>

<p>PCC X</p> <p>TEXAS MULTIPLE AWARD SCHEDULE (TXMAS)</p>	<p><i>As of 9-1-2007 PCC X does not include TXMAS Schedule 70 contracts</i></p> <p>_____ PO with authorized signature</p> <ul style="list-style-type: none"> • Delivery terms and/or contract term defined • NIGP Class-Item Codes listed <p>_____ State TXMAS contract number on PO</p> <p>_____ PO forwarded to CPA or entered into CPA's automated system</p> <p>_____ Proprietary letter with authorized signature (if applicable)</p> <p>_____ Best value statement must be documented on the PO (if applicable)</p> <p>_____ Electronic State Business Daily (ESBD) award posting printout if purchase is over \$25,000</p>
<p>EXEMPT PURCHASES</p>	<p>_____ PO with authorized signature</p> <ul style="list-style-type: none"> • NIGP Class-Item Codes listed <p>_____ Legal cite applicable to the purchase must be listed on the purchase documentation (required)</p> <ul style="list-style-type: none"> ▪ Example: TGC, Section 2162.105 <p>_____ Invoice must match PO</p> <p>_____ Electronic State Business Daily (ESBD) posting printout if purchase is over \$25,000</p> <p>_____ EPLS printout, prior to contract award</p> <p><i>NOTE: Utility payments made using a payment instrument OTHER THAN a purchase order need not contain a purchase order number.</i></p>
<p>NOT ADDRESSED BY PCC CODE</p>	<p>_____ State Use Report</p> <p>The State Use Report is a legislatively mandated report submitted by the 15th of each month listing purchases made as an exception to Human Resource Code 122.014 regarding specifications of products and services for sale to state agencies by TIBH.</p> <p>_____ Procurement Plan (Due by November 30th)</p> <p>An agency must submit an entire Procurement Plan of each fiscal year. Updates must be submitted as necessary. If there are no updates to the plan in a fiscal year, a letter must be sent to indicate there are "no changes". Procurement Plan submittals or "no change" letters are due by November 30th of each year.</p> <p>_____ Contract Advisory Team Review (CATRAD)</p> <p>Major contract solicitations over \$1 million in value must be submitted to the CATRAD.</p>